INSTRUCTIONS FOR AUTHORIZATIONS AND BILLINGS (R-450)

IVRS uses a unified authorization and billing form (R-450). Both processes are accommodated on one form, which has been designed for ease of completion by all parties. Changes to authorizations, i.e., cancellations and amendments also utilize this form.

Services are included in the Individual Plan for Employment (IPE-2) and entered and approved in the Iowa Rehabilitation Services System (IRSS) prior to purchasing goods* and services**. In the event circumstances require a verbal authorization to be made, it shall be followed up with an IRSS entry and approval at the earliest possible time.

IVRS requires staff to obtain three itemized, competitive bids for goods and services costing $5,000 or more prior to authorizing these amounts (refer to I-B-1: A5, for further direction).

*Goods: Items/models that are produced; then traded, bought or sold; then finally consumed.

**Services: Work performed by one person or a group of people that benefits others.

ENTERING, VIEWING, AND PRINTING IRSS AUTHORIZATIONS:

1. An authorization begins with navigating to the Case Services page in IRSS after the user has confirmed and identified the service has been included within the job candidate's plan (IPE-2) or a subsequent plan amendment. Note: If the planned services have not been entered in IRSS, then IRSS will require an updated IPE-2 prior to entering the service authorization. If services have been entered, proceed to the case services link in IRSS.

   Note: Pre-IPE services can be provided to determine eligibility or waiting list category. IRSS allows pre-IPE services to be authorized.

2. **Adding Service Line Item/Creating an Authorization:**
   To add a new service line item, click on "Add New Service Line Item" on the Case Services page.

Note: At the top of the case services screen, notice there are four types of authorization service line items that IRSS recognizes. These are Fixed Cost, Regular, Academic and Hybrid. Examples of fixed costs are amounts that are consistent such as 25 cents for mileage. Academic costs are college, university, community college, vocational school, and business school tuition and fees. Hybrid costs are exceptions to policy for tuition and fees. Regular costs are all other Service Lines. The type of authorization screen will change automatically in IRSS based on the IPE Category and Service Line Item selected by the user.

When entering a Pre-IPE authorization begin with #3 of this section of the document. If entering an IPE authorization, begin with #4.

3. **Pre-IPE Authorizations*:***
   The IRSS drop down menus begin with Pre-IPE Case Status. Use this selection if eligibility has not been determined or the IPE-2 has not been developed. Both the Pre-IPE Case Status field and Pre-IPE Service Category field must be completed for Pre-IPE authorizations. Once the service category has been selected, the service line items available for that particular category will display in the Service Line Item drop down list for user selection. (No selection will be required from the IPE Service Category field.)

   Note: A listing of Pre-IPE Service Categories and Pre-IPE Service Line Items can be found under the Reports/Forms tab in IRSS. This report will assist in determining the correct category and service line item to use.

To continue with a Pre-IPE authorization, skip to #5 below.

4. **IPE Authorizations:**
   If the authorization is entered after plan development, users will skip the Pre-IPE fields and begin with entering the correct IPE Service Category and Service Line Item. Note: The service categories previously entered on IPE-2 IRSS forms will be available in the IPE Service Category drop down list on this screen. Once a service category has been selected, the service lines available for that particular category will display in the Service Line Item drop down list.

   Note: A listing of IPE Service Categories and IPE Service Line Items can be found under the Reports/Forms tab in IRSS. This report will assist in determining the correct category and service line to use.

5. **Enter the Vendor Name:**
   The vendor name must be entered to identify the payee name and address that will print on the authorization form. User may search for the correct vendor by clicking on the magnifying glass and launching the vendor search screen.

   Search Vendor Screen:
   Enter the search criteria, such as the name of the vendor and/or the I/3 Vendor/customer number, and then click on the search button. (User may also enter the last two digits of the taxpayer ID number if known.) If the job candidate is the payee, enter “Client Reimbursement” as the vendor name. Click on the correct selection found in the search results section and then click the Select Vendor button. This will take the user back to the IRSS Case Services screen. Third party vendors may also be used to reimburse money to the job candidate. Third party vendors should only be used as a last resort and when time is of the essence.

Additional Vendor Information: If you cannot find the correct vendor by using the Search Vendor Screen in IRSS, check I/3 (the statewide accounting system from DAS) to identify if it is an active vendor and/or for any other possible dba name the business may use. If the vendor is not found in I/3, ask the payee to submit a completed W-9 form (http://das.sae.iowa.gov/images/word_docs/substitute_w9_vendor_form.doc) to be added as an active vendor. Forward the completed form to Financial. When sending the W-9 form to Financial, include your name and office contact information for follow up questions. For confidentiality purposes, do not e-mail the W-9. Send all W-9s by mail or fax. If the vendor has a change of address; notify Financial of the changes so they can be entered in I-3 and IRSS. If the vendor has changed their legal name, taxpayer ID number or classification (i.e., sole proprietor to corporation, corporation to nonprofit corporation, etc.) submit a new W-9 from the vendor indicating the changes.

Important: A payee must be active in IRSS before an authorization can be completed, and the vendor must be active in I/3 to make the payment.

A W-9 is not required if the job candidate is the payee. N**ote:** Payment is sent to the current address listed in IRSS for the job candidate at the time of payment.

6. **Enter Start and End Dates (or the time period covered by the authorization):** Enter the eight-digit date (MM/DD/YYYY) the authorization begins (the date on or after the service can begin) and the eight-digit date (MM/DD/YYYY) the authorization ends (the date by which the service must be completed). Service end dates can be no later than September 30 of the Federal Fiscal Year in which the authorization begins unless the service is for tuition or insurance which may cross the Federal Fiscal Year.

7. **Enter the Service Description:**
   In the service description box, type in the full description of the service authorized or select the Select Service Line Description button to populate the service line name into the Description text box. The service line name can be edited after it populates or additional clarifying information may be entered.

   Note: Be as descriptive as necessary to give clear direction to vendor, job candidate and financial staff. (*Examples: Spring Tuition and Fees for full time status; Transportation in support of job search: XX miles at .25 per mile.)*

   When providing money to job candidates through a third party, indicate if the money is to be provided as a lump sum or if it is to be provided weekly, monthly, etc. This impacts when the third party can bill IVRS for the amount authorized. Also indicate **specifically** what the dollar amount is used for (i.e. maintenance, transportation, etc.). Appropriate receipts or documents showing that the money was used as intended must be collected and filed in the financial section of the case file.

8. **Enter the correct Quantity and Unit Cost:**
   Enter the quantity and unit cost if it is not automatically populated such as with fixed or academic term. In most cases, using the quantity of one is recommended for regular and non-fixed cost services as IRSS requires the total amount to be evenly divisible by the quantity for billing purposes.

   IRSS automatically calculates the total. If all information is correct, click on the save button.

9. **Authorization Approval in IRSS:**
   In most cases, clerical staff are allowed to approve and authorize services in IRSS. To complete the approval and authorization process, click the "Approve" button.

   IRSS will process the approval and a check box will appear to the left of the service line. Next, click in the check box and select "Authorize Selected Items." (Several service lines can be selected and authorized together if the services will be provided by the same vendor and in the same Federal Fiscal Year.) After check-marking and selecting the Authorize Selected Items button, the service line(s) will disappear from the Case Services Window and will appear in the Authorizations window. If a printed copy of the authorization is needed, select the "Authorize and Print" button.

10. **Supervisory/Management Authorization Approval:**
    Certain services in IRSS are set up to require approval by a supervisor or management. In this case, the user will receive a message stating that the service line is "waiting for approval." Notify the area office supervisor or an individual from the management team when their approval is needed in IRSS.

11. **Editing/Deleting Service Line Items:**
    Service line items can be edited and/or deleted from the Service Line Summary Screen. It is only possible to edit or delete service lines before the are authorized.

12. **View/Printing Completed R-450s:**
    Once a service has been authorized, they move to the Authorizations page and can be viewed and/or printed from that page.

    After selecting the "Print" button on an authorization, a new window will open showing the authorization.

    Under the Actions Drop down, select "export" and then "Acrobat PDF file" to view a printable copy of the Authorization.

AMENDMENTS AND CANCELLATIONS:

It is only possible to edit a service line before it is authorized. Once the authorization is created, all changes are made as amendments (to change service dates or increase quantity or amount) or cancellations (to change service dates or decrease quantity or amount).

In IRSS, to add quantity or dollars to an authorization, select the amend button. To reduce the amount of the authorization with quantity or dollars, click the cancel button.

Keep in mind the quantity needs to be evenly divisible for remaining payments. For cancellations, the remaining amount will need to be divisible by the unit price as well.

Start Date / End Date: Enter any necessary changes to the start or end dates**.** Dates should not cross Federal Fiscal Years (from September to October).

Service Description: Briefly explain what is being changed.

Note: The most current service description will appear on the R-450 form when printed and the remittance slip sent with the payment.

BILLING:

1. When services are complete, billings and invoices are received from vendors for authorized services. It is acceptable for all or part of the billing section of the R-450 document to be hand-printed in ink, as long as it is clear and readable.

   The payee should identify the dates of service, quantity billed, unit cost and total. The dates must match how the services were authorized and fall within the service dates authorized, i.e., if the authorization was for "X number weeks of maintenance", the billing must be by the week or multiples of weeks; it could not be for "one month" as it was not authorized as a "month". Billings cannot be processed until the goods have been received or the service has been provided.

   If the amount invoiced is different than described in the Authorization Section, user will need to refer to the instructions for Amendments and Cancellations. Discrepancies should be researched before amending or cancelling. It will be important to use due diligence to research reasons for the discrepancy to ensure policies and procedures have been followed.

   Payee Signature and Date:
   Unless the payee provided an original invoice, the payee must sign and date the form. For multiple claims, each must have an original signature or original invoice. If original invoice is attached, there is no need for payee to

sign. Handwrite "original invoice attached" where payee would sign. Billings for purchases in the Iowa Self Employment program require both original invoices and original signatures.

Receipts and Documentation:
Attach receipts or other documentation to support the expense for billings payable to job candidates. When the job candidate is the payee, the job candidate must sign the billing in addition to providing supporting documentation to be attached to the copy of the billing retained in the casefile.

Faxed Invoices:
Receiving/using a faxed copy of an invoice is acceptable for payment if this is the vendor's normal business practice for billing. Before sending the faxed copy to Financial, note on the invoice "Faxed invoice is vendor's normal business practice."

IVRS Approval and Date:
An authorized staff person must indicate their approval of the payment of the claim by initialing and dating the "For IVRS use only" box. After entering the billing information into IRSS, make copies of the signed R-450 form and invoice (if one was received), and forward the original R-450 billing form with payee signature to financial for payment processing or, if no payee original signature on billing, then forward the original R-450 billing form with original invoice attached to Financial for payment processing.

2. **To enter the bill for payment on IRSS, navigate to the Bills/Invoices tab. Bills/Invoices tab is where a user can add a new or modify an existing bill or invoice.**

3. **Enter search criteria (most often the authorization number is used) and click the search button to locate the authorization.**

4. **Once the correct item is found, identify and click on the invoice icon under the Invoice column. Notice there are two icons. The icon with the green circle will take you to the "Add an Invoice" screen. The other icon (without the green circle) allows you to add, edit, and delete an existing invoice or view the I/3 document number used to create a state warrant when payment has been processed.**

5. **Select the Edit icon to enter a bill/invoice item or add an additional bill/invoice item by clicking on the Add button. The Bills/Invoices screen will display.**

6. **Fields to complete to add a bill for payment**

Invoice Number:
The Invoice Number is not required; however, this field does print on the remit slip that is mailed with the warrant to the vendor or job candidate when job candidate is reimbursed. It's good to use this field to provide helpful information to the vendor or job candidate when possible. Here are some best practices.

- Enter the invoice number when provided on the bill.
- When paying a third party vendor and their check number is known, enter the "Check #" followed by this number as the invoice number.
- When paying weekly maintenance or weekly transportation to a job candidate, enter the beginning and ending days for that particular week.

Invoice Date:
-The date of the invoice, or
-The date of the receipt, or
-When the vendor signs the R-450 form as the original bill, enter the date the vendor provided with their signature.

Service Receive Date: (This is when the job candidate has received the service.)
- When purchasing an item, this is the date the job candidate receives the item.
- When purchasing a service over a period of time, this is the date when the service has been completed or an outcome has been reached.
- When the service is for a Third Party Vendor to provide money to a job candidate, this is the date the money is given to the job candidate.
- When purchasing copies of medical records, this is the date the copies are received in the office.
- The Service Receive Date has to fall within the same Federal Fiscal Year (October – September) as the dates of the service line item and authorization.

If the dates of service cross the state fiscal year (July-June), separate claims must be submitted for services occurring in each state fiscal year.
- It's acceptable if this date is the same as the Invoice Date, such as when purchasing an item from a store and the date on the receipt is used as the Invoice Date and the Service Received Date.

Invoice Receive Date:
This is the date the billing/invoice/receipt was received in the IVRS office.

7. **Service Line Items:**
Click the "edit" icon to open screen to add the quantity billed. Review accuracy of the total amount calculated by IRSS with the dollar amount on the Billing.

8. **Click the green check mark on the left side of the screen under "edit" after confirming the amount billed and select the Save and Close button.**

9. **Checking a Bill for Payment in IRSS:**

   Click on Bills/Invoices tab. Search for the authorization number and click on the correct icon under invoice column.

10. **If there is an entry under Payment Info, this indicates the date the payment was issued.**

    Note: If the case file is still open and a refund is received, make a photocopy of the billing to which the refund relates. Staple the refund check to the billing copy and forward to Financial.

IVRS NO-COST SERVICE/ZERO DOLLAR LINE ITEM AUTHORIZATIONS:
Create authorizations in IRSS for no-cost services provided. It is best practice to authorize the no-cost services in IRSS at the time services are provided, but these can be added at any time prior to case file closure.

Following are the most common no-cost services provided by IVRS staff, however a no-cost service can be provided in any service category:

1. Counseling and Guidance (counseling and guidance)
2. Information and Referral (referral)
3. Employer Development (job placement)
4. Job Coaching by VR Staff (job placement)
5. Job Placement (job placement)
6. Assessment (assessment)
7. Job Club (job seeking skills)
8. JSST (job seeking skills)

From the vendor look-up, select IVRS as the vendor. This will automatically make the service a no-cost service and populate "0" as the cost of the service.

Service Dates & Service Description:
Enter the dates the no-cost services were provided and the full description, however, if service dates are entered after the close of a fiscal budget year in which the service occurred, authorize the services using the current date and then include the actual dates as part of the service description.

Quantity:
Enter a quantity of one for the service line item. Save and authorize the service line in IRSS.

No-Cost Service Billing
No-cost service authorizations do not need to be submitted for payment on the Bills/Invoices tab in IRSS.

TRANSFER OR REPOSSESSED JOB CANDIDATE EQUIPMENT OR AGENCY SURPLUS ITEMS:
The transfer of repossessed items or Agency surplus equipment to a job candidate will be accomplished through an authorization. When authorizing the service line in IRSS on the Case Services Screen, the vendor used should be "IVRS". The service description should be labeled as "Transfer of Equipment" and contain the name and case number of the job candidate from whom the items were repossessed as well as the items being transferred or attach an itemized list of the equipment being transferred. A copy of the authorization is sent to the Financial Section to be filed in the "Transfer and Repossessed Equipment Book". A copy is filed in the case file of the job candidate receiving the goods and a copy should be filed in the case file of the person from whom the material was repossessed, if still in existence. A copy is also forwarded to the State Office Repossessed/Reissued Equipment file, Attn: Bill VanGundy.

DEFINITION OF SERVICE DATE WHICH INDICATES FISCAL YEAR

All daily, weekly, or monthly services must be authorized and claimed separately from September and October (Federal Fiscal Year) and claimed separately for June and July (State Fiscal Year). Below is information to help determine to which fiscal year an authorization should be charged.

Hourly or Daily: A separate authorization and billing is required for services through September 30 than for October 1 and beyond. One authorization can cross June to July, but a separate billing is required for services through the end of June. For example, the authorization is for 4 hours of psychotherapy sessions at $100 per hour for June 10 through September 30. Any session provided through June 30 needs to be on a separate billing than session(s) performed July 1 through September 30.

Weekly: If the majority of the last week of the last month of the federal fiscal year falls in that month, authorize for it out of the current fiscal year. If the majority of the last week of the last month of the fiscal year falls in the next month, authorize a separate service line for it out of the next federal fiscal year. Only the billing claims need to be separated this way when crossing June to July. For example, if 6 weeks of child care is authorized to be paid weekly for June 6 through July 17 (seven day week of Sunday through Saturday in this example), the billing for the week of June 27 through July 3 is charged to state fiscal year ending June 30.

Monthly: Authorizations and billings written on a monthly basis must be split between September and October. Billings on monthly authorizations must also be split between June and July. For example, a bus pass for the month of June needs to be put on a separate billing than a monthly bus pass for July, even if they were purchased at the same time.

Tuition: The policy is to determine in which federal fiscal year the majority of the training period falls. It is written for that fiscal year. There may be occasions where it is necessary to split tuition services according to fiscal years.

The bill cannot be processed for payment until the drop date has been reached; the drop date is the date at which point a student receives 0% tuition refund if they drop a class for the term. When tuition uses the academic term table, IRSS will determine the length of time that falls more in one state fiscal year than the other for the term to pay the billing from that fiscal year. IRSS requires that the Service Receive Date fall within the state fiscal year from which the bill will be paid.

One time purchase: Authorize a period of time that doesn't cross federal fiscal years. This is the date the job candidate receives the item. An example would be a billing to JC Penney's for clothing against an authorization with period covered of June 16 through July 9. The sales receipt shows July 3 so the billing will be paid from state fiscal year beginning July. Therefore, July 3 needs to be entered in the Service Receive Date field in Bills/Invoices section of IRSS.

December, 2013

Outcome based: Authorize for the entire potential period to be no later than September 30. Due to the nature of the outcomes in this type of service, all or part of the authorization may need to be cancelled later in the fiscal year and reauthorized for the following federal fiscal year.

An example would be when a D3 Community Work Site Report is authorized for 5/1 – 9/30, the assessment is performed during June, and the final report is received July 6. The billing would be paid from the state fiscal year beginning July. The Service Receive Date to enter in IRSS Bills/Invoices section will be July 6.

Medical Records and Exams: This service is not considered to have been received until Field staff dates the medical billing upon review of the medical information received. That date will determine the fiscal year from which the money will be taken. This may cause an authorization originally entered for September dates to need to be cancelled and re-authorized with October dates, should the report be received in October.

When purchasing copies of medical records, this is the date the copies are received in the office. An example would be copies of medical records requested June 25 and received July 7 would be paid from the state fiscal year which begins in July. The Service Receive Date to enter in IRSS Bills/Invoices section will be July 7.

When purchasing a medical exam, this is the date the report from the provider is received in the office. An example would be report received July 7 for job candidate's diagnostic exam appointment on June 30, which would be paid form the state fiscal year which begins in July. The Service Received Date to enter in IRSS Bills/Invoices section will be July 7.

Guidelines for E-mailing R-450 Forms:

E-mail is a convenient and inexpensive mechanism for sharing information. At the same time, issues of confidentiality and security must be addressed to ensure the privacy of our job candidate is maintained. When e-mailing authorizations to vendors and job candidates, please follow these IVRS guidelines:

1. Attach the authorization to an e-mail in the PDF version generated from IRSS to reduce the risk of alteration after e-mailing.

2. Be aware of the following risks associated with sending confidential documents by e-mail.
   - Use care when typing e-mail addresses and double-check for accuracy to avoid sending to an incorrect address by mistake.
   - Make advance arrangements to ensure e-mail is received by a specific individual. Avoid sending to shared e-mail account where message may be opened by an unintended recipient.
   - Any message may be forwarded to unintended recipients.

3. The authorization form is considered confidential under the Open Records Law as it contains job candidate information. In the event of an open records request, all e-mail must be reviewed to redact job candidate information. As a way to filter and identify the confidential, authorization e-mails, always use a standard subject line of "Confidential R-450 – This is not a bill" when sending authorizations by e-mail.

4. When sending the authorization only to the job candidate, use the following message in the body of the e-mail: "**Attached is your copy of the IVRS authorization for services as agreed to by you and your vocational rehabilitation counselor. It is not a bill. If the authorization for services form is not correct please contact your counselor as soon as possible at the number listed. Thank you."**

5. When sending the authorization only to the vendor, use the following message in the body of the e-mail. **"Attached is an official IVRS authorization for services and billing (R-450) form. Receiving this document from an authorized IVRS representative and e-mail account is proof of authorization of services and is used in lieu of authorized signature. Refer to the attached R-450 form for further instructions and information. Thank you."**

6. When sending the authorization to the vendor and job candidate in the same e-mail, ensure to insert the job candidate's e-mail address in the bcc field to protect the job candidate's e-mail address. Use the message for the vendor noted in number 5 (above) for the body of the e-mail.

7. Append a standard block of text to the end of the R-450 e-mail message which contains the sender's full name, contact information, and the following disclaimer:

   Notice to Recipient: This electronic mail transmission, including attachments, may contain information from Iowa Vocational Rehabilitation Services (IVRS) that is privileged, confidential, or proprietary and may be subject to protection under the law, including the Health Insurance Portability & Accountability Act (HIPAA). This information is solely for the intended recipient(s). If you are not the intended recipient, you are notified that any review, use, dissemination, distribution, copying, or storing of the e-mail or its contents is strictly prohibited. If you have received this e-mail in error, please contact the sender immediately by replying to the e-mail and delete this message from your computer and system. Thank you for your cooperation.

8. When sending the authorization by e-mail, do not include the job candidate's Social Security number as part of authorization description nor include this in any part of the e-mail message. (Only the last 4 digits of a Social Security number may be noted when using e-mail correspondence.)

9. As a reminder, use appropriate e-mail etiquette.

10. Should correspondence become prolonged, notify job candidate to come in or discuss issues by phone to minimize security risk.

COMPARABLE SERVICES AND BENEFITS

When comparable benefits or services are provided to job candidates, service providers must be documented in IRSS. Enter up to three service providers who provided the job candidate with a comparable service or benefit. Three providers can be identified for each of the service categories listed on the job candidate's IPE.

Navigate to the Case Services page and select the Add Comparable Benefits button.

Select Services Category:
From the drop-down menu, select the appropriate service category that best matches the service provided. The list is limited to service categories contained in the job candidate's plan for employment (IPE).

First Service Provider Type:
From the drop-down menu, select the provider type that best describes the service provider. Choices include:

- American Indian VR Services Program
- Centers for Independent Living
- Child Protective Services
- Community Rehabilitation Programs
- Educational Institutions (elementary/secondary)
- Educational Institutions (post-secondary)
- Employers
- Employment Networks (not otherwise listed)
- Federal Student Aid (such as, Pell grants, SEOG (Supplemental Educational Opportunity Grant), work study, etc.
- Intellectual and Developmental Disabilities Agencies
- Medical Health Provider (Public or Private)
- Mental Health Provider (Public or Private)
- One-stop Employment/Training Centers
- Public Housing Authority
- Social Security Administration (Disability Determination Service or District office)
- State Department of Correction/Juvenile Justice
- State Employment Service Agency
- Veteran's Administration
- Welfare Agency (State or local government)
- Worker's Compensation
- Other VR State Agencies
- Other State Agencies
- Other Sources

If no comparable benefits or services were provided for the selected service category, choose the "No comparable services or benefits were provided" option.

First Service Description:
Use this text box to further describe the vendor providing the comparable service or benefit and the service provided. If more than one vendor provided services to the job candidate for the service category listed, you may list them in the service description textbox; however, only one vendor is required for each provider type selected.

Second and Third Provider Types and Descriptions:
Repeat the steps above for the second and third providers. Once a service category or service provider type has been selected, it cannot be duplicated. These fields may be left unanswered if there were no more vendors providing comparable services and benefits to the job candidate.

Save the comparable benefit page to save the information entered to the Comparable benefits grid. Comparable benefits information may be updated or deleted using the Edit and Delete buttons. Once comparable benefits are added for a service category, the category cannot be deleted from subsequent IPE forms.